

Under the Paperwork Reduction Act of 1995, no persons are required to respond to collection of information unless it displays a valid OMB control number

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)</b>  <input type="checkbox"/> Declaration Submitted with Initial Filing  <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge 37 CFR 1.16(e)) required)	<b>Attorney Docket Number</b>	<b>AWDM1007</b>
	<b>First Named Inventor</b>	<b>Kazarinov, R</b>
	<b>Complete if Known</b>	
	Application Number	
	Filing Date	
	Group Art Unit	
	Examiner Name	

**As a below named inventor, I hereby declare that:**

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**Temperature Compensated Optical Waveguide Structures**

the specification which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY) [ ]

Application Number [ ] as United States application Number or PCT International

and was amended on (MM/DD/YYYY) [ ] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES NO

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to collection of information unless it displays a valid OMB control number

**DECLARATION-Utility or Design Patent Application**

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s) or 365(c) of any PCT international application designating the United States of America, listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or Pct Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
09/616,487	July 14, 2000	
09/616,816	July 14, 2000	
09/616,745	July 14, 2000	

Additional U.S., or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Customer Number **24202** place customer number Bar Code Label here

☐ OR  
☐ Registered practitioner(s) name/registration number listed below:

Name	Registration Number	Name	Registration Number
N. Rhys Merrett	27,250		
James T. Comfort	19,086		

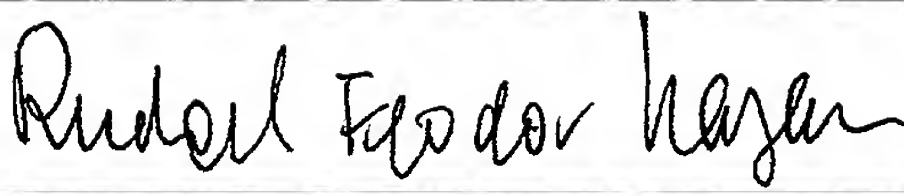
☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

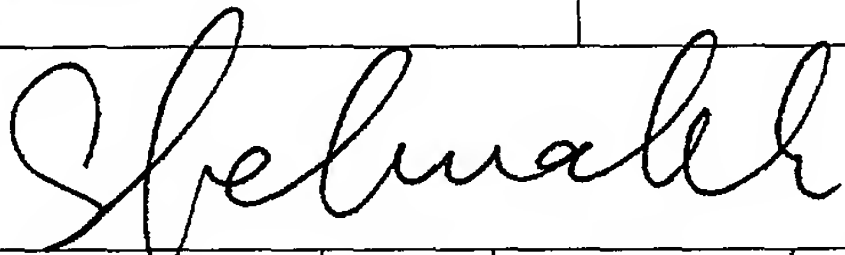
Direct all correspondence to: ☒ Customer Number or Bar Code Label **24202** OR ☐ Correspondence address below

Name	N. Rhys Merrett				
Address	13355 Noel Road, Suite 1340				
Address					
City	Dallas	State	Texas	ZIP	75240
Country	USA	Telephone	972-490-3695	Fax	972-490-3863

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of First Inventor **Rudolf Feodor Kazarinov** ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))			Family Name or Surname		
Rudolf Feodor			Kazarinov		
Inventor's Signature				Date	
				27	February, 2002
Residence: City	Lubbock	State	Texas	Country	USA
				Citizenship	USA
Post Office Address	5001 Chicago Avenue, Apt. 605				
Post Office Address					
City	Lubbock	State	Texas	ZIP	79414
				Country	USA

Name of Joint Inventor(s), if any		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle (if any))				Family Name or Surname			
Nikolai Michael				Stelmakh			
Inventor's Signature				Date	02-27 February, 2002		
Residence: City	Lubbock	State	Texas	Country	USA	Citizenship	France
Post Office Address							
Post Office Address							
City	Lubbock	State	Texas	ZIP	79414	Country	USA
<input type="checkbox"/> Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s)_ PTO/SB/02A attached hereto							

[Page 2 of 2]

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, patent and Trademark office, Washington, DC 20231.

DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington DC 20231.

Docket Number (Optional)

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN****AWDM1001**Applicant, Patentee, or Identifier Henryk Temkin and Rudolf Feodor Kazarinov

Application or Patent No. \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: Optical Waveguide Transmission Devices

I hereby state that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Applied, WDM, Inc.ADDRESS OF SMALL BUSINESS CONCERN 11 South Lake Shore Drive  
Ransom Canyon, Texas 79366

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party of parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.


If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

NAME OF PERSON SIGNING Henryk TemkinTITLE OF PERSON IF OTHER THAN OWNER CEOADDRESS OF PERSON SIGNING 11 South Lake Shore Drive; Ransom Canyon; Texas 79366SIGNATURE  DATE 7-14-2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, patent and Trademark office, Washington, DC 20231 DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington DC 20231